

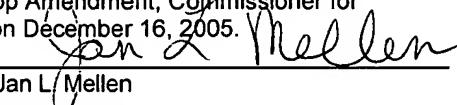


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INFORMATION DISCLOSURE TRANSMITTAL		Docket No. P8228-US-NP
Applicant:	Alexander T. Garthwaite	
Serial No:	10/644,344	
Filed:	August 20, 2003	
For:	HANDLING FUTILE COLLECTIONS IN THE TRAIN ALGORITHM THROUGH SELECTIVE EXTENSION OF THE COLLECTION SET	
Examiner:	Safet Metjahić	
Art Unit:	2171	

CERTIFICATE OF MAILING UNDER 37 C.F.R. §1.8(a)

The undersigned hereby certifies that this document is being placed in the United States mail with first-class postage attached, addressed to Mail Stop Amendment, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on December 16, 2005.


Jan L. Mellen

Mail Stop Amendment
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

In keeping with the duty of candor and good faith owed to the Patent and Trademark Office, Applicant wishes to bring information to the attention of the Examiner. The filing of this statement shall not be construed as a representation that a search has been made or as an admission that this information is, or is considered to be, material to patentability as defined in 37 C.F.R. §1.56(b).

Enclosures

- A form PTO-1449 listing this information is attached
- Copies of documents cited, other than U.S. patents and published U.S. patent applications, are enclosed.
- Copies of the cited documents are not enclosed because

Fees

- This statement is filed before the later of: (1) three months of (i) the filing of a national application or (ii) the entry date for the national stage of an international application; (2) the mailing date of a first office action on the merits; or (3) the mailing date of a first office action on the merits following the filing of a Request for Continued Examination. No fee is due.
- This statement is filed before the mailing date of a final office action, a notice of allowance or an action that otherwise closes prosecution, and
 - The submission fee of \$180.00 under 37 CFR §1.17(p) is enclosed, or
 - The following certification is made:
 - each item of information contained in this statement was cited in a communication from a foreign patent office in a counterpart foreign

application not more than three months prior to the filing of this statement, or

no item of information contained in this statement was cited in a communication from a foreign patent office in a counterpart foreign application and, to the knowledge of the person signing the statement after making reasonable inquiry, no item of information contained in this statement was known to any individual designated in 37 CFR §1.56(c) more than three months prior to the filing of this statement.

This statement is filed on or before payment of the issue fee, the submission fee of \$180.00 under 37 CFR §1.17(p) is enclosed, and

each item of information contained in this statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this statement, or

no item of information contained in this statement was cited in a communication from a foreign patent office in a counterpart foreign application and, to the knowledge of the person signing the statement after making reasonable inquiry, no item of information contained in this statement was known to any individual designated in 37 CFR §1.56(c) more than three months prior to the filing of this statement.

Payment

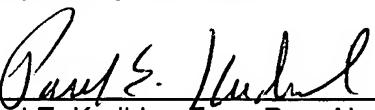
A check in the amount of the submission fee is enclosed.

Charge Account No. 02-3038 in the amount of the submission fee. A duplicate of this transmittal sheet is attached.

Authorization to Charge Additional Fees

The Commissioner is hereby authorized to charge any additional fees under 37 C.F.R. §1.16 and §1.17 required by the attached paper and during the entire pendency of this application to Account No. 02-3038.

Respectfully submitted,



Paul E. Kudirka, Esq. Reg. No. 26,931
KUDIRKA & JOBSE, LLP
Customer Number 045774
Tel: (617) 367-4600 Fax: (617) 367-4656

Date: 12/16/01



**INFORMATION DISCLOSURE STATEMENT
BY APPLICANT Sheet 1 of 10**

Docket No. P8228-US-NP

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 Examiner: Safet Metjahic
 Art Unit: 2171

U.S. PATENT DOCUMENTS

Exam Inits	Cite No.	Patent Number	Kind Code	Patentee or Applicant Name	Issue Date
		10/287,851		GARTHWAITE, ET AL.	11/5/02
		20020032719	A1	THOMAS, ET AL.	03/02
		20020095453	A1	STEENSGAARD	07/18/02
		20020133533	A1	CZAJKOWSKI, ET AL.	09/19/02
		20040039759	A1	DETLEFS, ET AL	2/2004
		4,724,521	B1	CARRON, ET AL.	2/1988
		4,797,810	B1	MCENTEE, ET AL.	01/10/89
		4,912,629	B1	SHULER, JR.	05/27/90
		4,989,134	B1	SHAW	01/29/91
		5,088,036	B1	ELLIS, ET AL.	02/11/92
		5,333,318	B1	WOLF	07/26/94
		5,392,432	B1	ENGELSTAD, ET AL.	02/21/95
		5,485,613	B1	ENGELSTAD, ET AL.	01/16/96
		5,560,003	B1	NILSON, ET AL.	09/24/96
		5,687,370	B1	GARST, ET AL.	11/11/97
		5,801,943	B1	NASBURG	09/01/98
		5,845,276	B1	KIRSCH, ET AL.	12/01/98
		5,845,298	B1	O'CONNOR, ET AL.	12/01/98
		5,857,210	B1	TREMBLAY, ET AL.	01/01/99
		5,873,105	B1	TREMBLAY, ET AL.	02/16/99

FOREIGN PATENT DOCUMENTS

Exam Inits	Cite No.	Cy	Number	Kind Code	Patentee or Applicant Name	Publication Date	T
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Examiner Signature		Date Considered
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U.S. PATENT DOCUMENTS

Exam Inits	Cite No.	Patent Number	Kind Code	Patentee or Applicant Name	Issue Date
		5,900,001	B1	WOLCZKO, ET AL.	05/04/99
		5,903,900	B1	KNIPPEL, ET AL	05/11/99
		5,930,807	B1	EBRAHIM, ET AL.	07/27/99
		5,953,736	B1	O'CONNOR, ET AL.	09/14/99
		6,021,415	B1	CANNON, ET AL.	02/01/00
		6,047,125	B1	AGESEN, ET AL.	04/04/00
		6,065,020	B1	DUSSUD	05/16/00
		6,098,089	B1	O'CONNOR, ET AL.	08/01/00
		6,148,310	B1	AZAGURY, ET AL.	11/14/00
		6,173,294	B1	AZAGURY, ET AL.	01/09/01
		6,185,581	B1	GARTHWAITE	02/06/01
		6,226,653	B1	ALPERN, ET AL.	05/01/01
		6,243,720	B1	MUNTER, ET AL	06/05/01
		6,289,358	B1	MATTIS, ET AL.	09/11/01
		6,308,185	B1	GRARUP, ET AL.	10/23/01
		6,314,436	B1	HOULDSWORTH	11/06/01
		6,321,240	B1	CHILIMBI, ET AL.	11/27/01
		6,353,838	B1	SAUNTRY, ET AL.	03/05/02
		6,381,738	B1	CHOI, ET AL.	04/30/02
		6,393,439	B1	HOULDSWORTH, ET AL.	05/21/02

FOREIGN PATENT DOCUMENTS

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Examiner: Safet Metjahic
Art Unit: 2171

U.S. PATENT DOCUMENTS

FOREIGN PATENT DOCUMENTS

Exam Inits	Cite No.	Cy	Number	Kind Code	Patentee or Applicant Name	Publication Date	T
		WO	WO0188713	A2	SUN MICROSYSTEMS, INC.	11/22/2001	<input type="checkbox"/>
		EP	EP 0 904 055	A1	SUN MICROSYSTEMS, INC.	9/8/1999	<input type="checkbox"/>
		EP	EP 0 969 377	A1	INT'L BUSINESS MACHINES CORP.	1/5/2000	<input type="checkbox"/>
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**INFORMATION DISCLOSURE STATEMENT
BY APPLICANT Sheet 4 of 10**

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 Art Unit: 2171

OTHER PRIOR ART – NON PATENT LITERATURE AND DOCUMENTS

Exam Inits	Cite No.	Include name of the author (in CAPITAL LETTERS), title of the articles (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T
		APPEL, "Simple Generational Garbage Collection and Fast Allocation", Software Practice and Experience, 19(2), 1989, 171-183	<input type="checkbox"/>
		APPEL, ET AL., "Real-Time Concurrent Collection on Stock Multiprocessors", ACM SIGPLAN Notices, 1988	<input type="checkbox"/>
		APPLEBY, KAREN, "Garbage Collection for Prolog Based on WAM, Vol. 31, Issue 6", Communication of the ACM, June 1, 1998, 719-741	<input type="checkbox"/>
		ARORA, ET AL., "Thread Scheduling for Multiprogrammed Multiprocessors", Proceedings of the 10th Annual ACM Symposium on Parallel Algorithms and Architecture, June 1998	<input type="checkbox"/>
		BACON, ET AL., "Java without the Coffee Breaks: A nonintrusive Multiprocessor Garbage Collector", SIGPLAN Conference on Programming Language Design and Implementation, June 2001, Snowbird, UT	<input type="checkbox"/>
		BAKER, "List Processing in Real Time on a Serial Computer", Communications of the ACM 21, April 1978, 280-294	<input type="checkbox"/>
		BARRETT, ET AL., "Using Lifetime Predictors to Improve Memory Allocation Performance", SIGPLAN'93 Conference on Programming Languages Design and Implementation Vol. 28(6) of Notices, June 1993, 187-196, ACM Press, Albuquerque, NM	<input type="checkbox"/>
		BLACKBURN & MCKINLEY, "In or Out? Putting Write Barriers in Their Place", June 20, 2002, Berlin	<input type="checkbox"/>
		BROOKS, "Trading Data Space for Reduced Time and Code Space in Real-Time Garbage Collection on Stock Hardware", Proceedings of the 1984 ACM Symposium on Lisp and Functional Programming, August 1984, 108-113, Austin, TX	<input type="checkbox"/>

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**INFORMATION DISCLOSURE STATEMENT
BY APPLICANT Sheet 5 of 10**

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		CHILIMBI, ET AL., "Using Generational Garbage Collection to Implement Cache-Conscious Data Placement", International Symposium on Memory Management, October 1998	<input type="checkbox"/>
		CLARK, "An Efficient List-Moving Algorithm Using Constant Workspace, Vol. 19 No. 6", Communications of the ACM, June 1976, 352-354	<input type="checkbox"/>
		CLARK, ET AL., "Compacting Garbage Collection can be Fast and Simple", Software-Practice and Experience, Vol. 26, No. 2, February 1996, 177-194	<input type="checkbox"/>
		COURTS, "Improving Locality of Reference in a Garbage-Collecting Memory Management System", Communications of the ACM, Vol. 31, No. 9, September 1988, 1128-1138	<input type="checkbox"/>
		FLOOD, ET AL., "Parallel Garbage Collection for Shared Memory Multiprocessors", USENIX JVM Conference, April 2001	<input type="checkbox"/>
		GOLDSTEIN, ET AL., "Lazy Threads: Implementing a Fast Parallel Call, Vol. 37, No. 1", Journal of Parallel and Distributed Computing, August 1996, 5-20	<input type="checkbox"/>
		GRARUP, ET AL., "Incremental Mature Garbage Collection", M.Sc.Thesis @ http://www.daimi.aau.dk/jacobse/Papers , August 1993	<input type="checkbox"/>
		HANSON, "Fast Allocation and Deallocation of Memory Based on Object Lifetimes", Software Practice and Experience, January 1990, 20(1):5-12	<input type="checkbox"/>
		HARRIS, "Dynamic Adaptive Pre-Tenuring", In Proceedings of the Int'l Symposium on Memory Management, October 2000, 127-136	<input type="checkbox"/>

Examiner Signature		Date Considered
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**INFORMATION DISCLOSURE STATEMENT
BY APPLICANT Sheet 6 of 10**

Docket No. P8228-US-NP

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		HERLIHY, ET AL., "Lock-Free Garbage Collection for Multiprocessors", ACM SPAA, 1991, 229-236	<input type="checkbox"/>
		HOLZLE, URS, "A Fast Write Barrier for Generational Garbage Collectors", Workshop on Garbage Collection in Object Oriented Systems, October 1993	<input type="checkbox"/>
		HOSKING, ET AL., "Remembered Sets Can Also Play Cards", OOPSLA/ECOOP Workshop on Garbage Collection in Object-Oriented Systems, October 1993	<input type="checkbox"/>
		HOSKING, ET AL., "Protection Traps and Alternatives for Memory Management of an Object-Oriented Language", Object Systems Laboratory, December 1993, 1-14, Dept. of Comp. Sci., Amherst, MA	<input type="checkbox"/>
		HUDSON, ET AL., "Adaptive Garbage Collection for Modula-3 and Small Talk", OOPSLA. ECOOP '90 Workshop on Garbage Collection in Object-Oriented Systems, October 27, 1990	<input type="checkbox"/>
		HUDSON, ET AL., "A Language - Independent Garbage Collector Toolkit", Coins Technical Report, September 1991	<input type="checkbox"/>
		HUDSON, ET AL., "Incremental Collection of Mature Objects", Proceedings of the Int'l Workshop on Memory Management, 1992, Pgs. 1-16, Springer-Verlag	<input type="checkbox"/>
		HUDSON, ET AL., "Training Distributed Garbage: The DMOS Collector", University of St. Andrews Tech Report, 1997, 1-26	<input type="checkbox"/>
		HUDSON, ET AL., "Garbage Collecting the World: One Car at a Time", ACM SIGPLAN Notices 32, 1997, 162-175	<input type="checkbox"/>

Examiner Signature		Date Considered	
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**INFORMATION DISCLOSURE STATEMENT
BY APPLICANT Sheet 7 of 10**

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		HUDSON, ET AL., "Sapphire: Copying GC Without Stopping the World", Practice and Experience Special Issue, Date Unknown, JAVA/Grande/Iscope	<input type="checkbox"/>
		JONES AND LINS, "Garbage Collection: Algorithms for Automatic Dynamic Memory Management", 1996, 165-179, John Wiley and Sons, NY	<input type="checkbox"/>
		LIEBERMAN, ET AL., "A Real-Time Garbage Collector Based on the Lifetimes of Objects", Communications of the ACM, 1983, 26(6)	<input type="checkbox"/>
		LISKOV, ET AL., "Partitioned Garbage Collection of a Large Stable Heap", Proceedings of IWOOS, 1996, 117-121	<input type="checkbox"/>
		MOON, "Garbage Collection in a Large Lisp System", Conference Record of the 1984 ACM Symposium on LISP and Functional Programming, August 1984, 235-246, Austin, TX	<input type="checkbox"/>
		MOSS, ET AL., "A Complete and Coarse-Grained Incremental Garbage Collection for Persistent Object Stores", Proceedings 7th Int'l Workshop on Persistent Object System, 1996, 1-13, Cape May, NJ	<input type="checkbox"/>
		MUNRO, ET AL., "Incremental Garbage Collection of a Persistent Object Store using PMOS", 3rd Int'l Workshop on Persistence and Java, 1998, 78-91, Tiburon, California	<input type="checkbox"/>
		NETTLES, SCOTT, "Real-Time Replication Garbage Collection", Avionics Lab, Wright Research and Development Center, 1993, PDDI	<input type="checkbox"/>
		PADOPOULOS, "Hood: A User-Level Thread Library for Multiprogramming Multiprocessors, Thesis: The Uni. of TX", University of Texas, August 1998, 1-71, Austin	<input type="checkbox"/>

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**INFORMATION DISCLOSURE STATEMENT
BY APPLICANT Sheet 8 of 10**

Docket No. P8228-US-NP

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		ROY, ET AL., "Garbage Collection in Object-Oriented Databases Using Transactional Cyclic Reference Counting", VLDB Journal - The International Journal on Very Large Databases, Vol. 7, Issue 3, 1998, 179-193	<input type="checkbox"/>
		SELIGMANN, ET AL., "Incremental Mature Garbage Collection, In the European Conference on Object-Oriented Programming", M.Sc.Thesis @ http://www.daimi.aau.dk/jacobse/Papers/ , 1995	<input type="checkbox"/>
		SHUF, ET AL., "Exploiting Profilic Types for Memory Management and Optimizations. ACM ISBN 9/2/01", POPL, January 2002, Portland	<input type="checkbox"/>
		SOBALVARRO, "A Lifetime-based Garbage Collector for LISP Systems on General-Purpose Computers", Department of Electrical Engineering and Computer Science at MIT, September 1988, AITR-1417	<input type="checkbox"/>
		STAMOS, "Static Grouping of Small Objects to Enhance Performance of a Paged Virtual Memory", ACM Transactions on Computer Systems, Vol. 2, No. 2, May 1984, 155-180	<input type="checkbox"/>
		UNGAR, "Generation Scavenging: A Non-Disruptive High Performance Storage Reclamation Algorithm", ACM SIGPLAN Notices, April 1984, 19(5)	<input type="checkbox"/>
		UNGAR, ET AL., "Tenuring Policies for Generation-Based Storage Reclamation", ACM SIGPLAN Notices, 1988, 23(11)1-17	<input type="checkbox"/>
		VENNERS, "Garbage Collection, Inside the Java 2 Virtual Machine; Chapter 9", www.artima.com , Date Unknown, parts 1-18	<input type="checkbox"/>
		WILSON, "Uniprocessor Garbage Collection Techniques", Proceedings of Int'l Workshop on Memory Management, 1992, V. 637	<input type="checkbox"/>

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**INFORMATION DISCLOSURE STATEMENT
BY APPLICANT Sheet 9 of 10**

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		WILSON, "Uniprocessor Garbage Collection Techniques", Technical Report, University of Texas, 1994	<input type="checkbox"/>
		WITHTINGTON, P.T., "How Real is "Real-Time" GC?", Symbolics, Inc., October 6, 1991, Burlington, MA	<input type="checkbox"/>
		ZEE, ET AL., "Write Barrier Removal by Static Analysis", OOPSLA '02, November 2002	<input type="checkbox"/>
		ZORN, "Segregating Heap Objects by Reference Behavior and Lifetime", In 8th Int'l Conferenceon Architectural Support for Programming Languages and Operating Systems, October 1998, 12-32, San Jose, CA	<input type="checkbox"/>
		ZORN, BENJAMIN, "Barrier Methods for Garbage Collection", Dept. of Computer Science, Uni. of Colorado, November 1990, 1-37, Boulder	<input type="checkbox"/>
		AZAGURY, ET AL., "Combining Card Marking With Remembered Sets: How to Save Scanning Time", ACM SIGPLAN Notices, October 1998, V. 34(3), ACM Press, Vancouver, Canada	<input type="checkbox"/>
		CHENEY, "A Nonrecursive List Compacting Algorithm, Volume 13, Number 11", Communications of the ACM, November 1970, 677-678, Uni. Math. Lab., Cambridge, European Patent Office	<input type="checkbox"/>
		CHENG, ET AL., "Generational Stack Collection and Profile-Driven Pretenuring", SIGPLAN'98 Conference on Programming Languages Design and Implementation, June 1998, 162-173, ACM PRESS, Montreal, Canada	<input type="checkbox"/>
		HOSKING, ET AL., "A Comparative Performance Evaluation of Write Barrier Implementations", OOPSLA; ACM Conference on Object-Oriented Systems, Languages and Applications, October 1992, V. 27(10), ACM Press, Vancouver, Canada	<input type="checkbox"/>

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**INFORMATION DISCLOSURE STATEMENT
BY APPLICANT Sheet 10 of 10**

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		LAM, ET AL., "Object Type Directed Garbage Collection to Improve Locality", Proceedings of the International Workshop on Memory Management, September 1992, 404-425, St. Malo, France	<input type="checkbox"/>
		LAM, ET AL., "Effective Static-Graph Reorganization to Improve Locality in Garbage Collected Systems", Proceedings of ACM SIGPLAN Conference on Programming Language Design and Implementation, June 1991, Toronto, Canada	<input type="checkbox"/>
		PIRINEN, PEKKA, "Barrier Techniques for Incremental Tracing", Harlequin Limited, Date Unknown, 20-25, Cambridge, Great Britain	<input type="checkbox"/>
		WILSON, ET AL., "Effective Static-Graph Reorganization to Improve Locality in Garbage Collected Systems", Proceedings of ACM SIGPLAN Conference on Programming Language Design and Implementation, June 1991, Canada	<input type="checkbox"/>
			<input type="checkbox"/>

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